

# CALIFORNIA EDUCATIONAL FACILITIES AUTHORITY

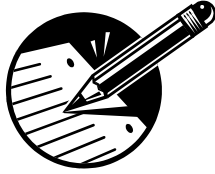
Philip Angelides, Chairman  
*CA State Treasurer*

## Academic Assistance Program Grant Application

Academic Assistance Program for Private  
Colleges and Universities to Expand  
Outreach Opportunities

915 Capitol Mall, Suite 590  
Sacramento, California 95814  
Phone: (916) 653-2799  
Fax: (916) 654-5362

**The Academic Assistance Program  
APPLICATION FORM**



*Please type all responses. Incomplete or illegible applications will not be considered.*

**A. Summary Information**

**Applicant Legal Name:** \_\_\_\_\_

**Federal Tax ID #:** \_\_\_\_\_

**Street Address:** \_\_\_\_\_

**City State Zip** \_\_\_\_\_

**County:** \_\_\_\_\_

**Address of Program (if different from above):** \_\_\_\_\_

\_\_\_\_\_  
**County:** \_\_\_\_\_

**Contact Person:** \_\_\_\_\_ **Title:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**E-mail Address:** \_\_\_\_\_

**Requested Amount:**     \$ \_\_\_\_\_

NOTE: Eligible University and Colleges are limited to \$250,000 in grant funding per applicant.

**Date of Application:** \_\_\_\_\_

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**<Authority Use Only>**

Date Received: (stamp below)

Allocation Meeting Date:

Resolution Number: \_\_\_\_\_

**B. Applicant and Program Eligibility**

1. Your institution's eligibility:

- Is your institution a private, non-profit college or university situated in the State of California?

If so, Provide copies of :

- A. Your corporation's tax exemption letters from both the Internal Revenue Service and the State Franchise Tax Board.
- B. A recent copy of the Exempt Letter of Good Standing from the Franchise Tax Board.
- C. Certificate of Status of Domestic Corporation from the Secretary of State.

- Is your institution accredited by the Western Association of Schools & Colleges ("WASC") or a similarly recognized organization that provides regional accreditation?

Please provide latest accreditation notification(s).

- Is your institution non-sectarian?

If your institution requires students to take courses in religion or theology, the applicant must provide a factual showing that such required courses (a) are taught according to the academic requirements of the subject matter, (b) cover a range of human religious experiences, (c) are not limited to courses about a particular faith, and (d) are not taught in a manner for the purpose of indoctrinating or proselytizing students.

- Has your institution functioned a minimum of three years prior to submitting an application for financing, and can provide three years of audited financial statements?

Please provide the last three years of audited financial statements.

- Are your most recent audited financial statements free of "going concern" language, which questions your ability to continue operations?
- Are you a non-profit 501(c)(3) corporation, for purposes of federal and state tax law?

If you answered "NO" to any of the questions above, you are ineligible.

	<u>Yes</u>	<u>No</u>
2. Your program's eligibility		
Does/Will the program provide one or more of the following elements?	_____	_____
<ul style="list-style-type: none"> <li>• Provide academic assistance, such as academic enrichment or mentoring programs for low and very low-income students.</li> <li>• Provide guidance in the college admissions process for low and very low-income students.</li> <li>• Expand postsecondary educational opportunities by informing students of the benefits of, and the requirements for, higher education, for low and very low-income students.</li> </ul>		
Does/Will the program serve a comprehensive school or schools?	_____	_____
Does/Will the program serve schools that are located in a low to very – low income area?	_____	_____



If you answered ***no*** to any question above, you are not eligible to receive a grant.

If you answered ***yes*** to all questions, you may continue completing the remaining pages of the application.

## **C. Program Description**

### **General**

1. Briefly describe the program, including its goals and objectives.
2. Describe how you propose to enhance or develop your new or existing program.  
(Please limit to one page)
3. Describe the anticipated benefit to this program that additional funds would provide  
(Submit supporting documentation, if available).
4. Is the program an individual program or a collaborative effort? If this is a collaborative effort, what school(s) are you working with?

### **Benefits**

1. Describe and provide supporting documentation that explains how the grant will contribute to one or more of the following:
  - a) Informing students of the benefits of and the requirements for higher education.
  - b) Preparing students for college entrance
  - c) Providing programs such as academic enrichment and/or mentoring programs.
2. Describe the extent to which the program will serve, or is serving, qualified schools in geographic areas that are not currently being served by similar programs.
3. Describe the extent to which the program serves low income students.
4. Describe the extent to which the program serves very-low income students.
5. Describe the extent to which the program serves schools in low or very low-income areas.
6. For each school served, list the percentage of pupils who graduate from the school who are eligible for admission to the California State University or the University of California, according to the most recent information from the California Postsecondary Education Commission.

### Commitment

1. Describe the extent to which the applicant has committed its own funds, or funds obtained from other sources, to the program.
2. Describe the extent of applicant's commitment to providing need-based financial assistance to its students. Please provide documentation showing the percentage of students who receive financial aid directly from the applicant's own funds.

#### **D. Program Readiness and Feasibility**

##### **New Programs:**

1. Demonstrate program feasibility for five years, including budgets and an implementation timetable.
2. Demonstrate the program is ready to be implemented.
3. Demonstrate the program is well structured to provide academic assistance, guidance in college admissions, or to expand the educational opportunities of students at qualified schools.
4. The extent to which the program will serve qualified schools in geographic areas that are not currently being served by similar programs.
5. Documentation of prior program(s) success, if applicable.

##### **Existing Programs:**

1. Date services to students began.
2. The extent to which the program has demonstrated a record of success in providing academic assistance, guidance in college admissions, or in otherwise expanding the educational opportunities of students. Include the programs success in improving SAT scores, high school graduation rates, or college acceptance rates in the schools it serves.
3. Please describe how the program identifies students needs and how the students progress is monitored
4. Please provide statistics for the last three years indicating the number of students that have participated in the program.
5. Describe the dollar amount expended on the program in each of the last three fiscal years.
6. Describe how the additional grant funds will be used to enhance or expand your existing program.

**E. Sources and Uses of Funds\***

All applicants must submit a budget for its proposed program including all sources and uses of funds. If funding sources for the program are other than internal funds, all applicants must submit copies, if available, of written commitments of these funding sources. **CEFA grant funds cannot be the only funding source for the program.**

In the first column, list the actual expenditure for this program (for existing programs).

**\*Total Sources must equal Total Uses. No grant shall exceed the Maximum Grant or the Matching Amount, whichever is less.**



<b><u>Sources of Funds:</u></b>	Actual expenditures for Program in current year	Program budget for the first fiscal year in which grant funds will be used	Budget for 2 <sup>nd</sup> year	Budget for 3 <sup>rd</sup> year	Budget for 4 <sup>th</sup> year	Budget for 5 <sup>th</sup> year
Total CEFA Grant Requested	n/a	\$	\$	\$	\$	\$
Applicant Internal Funds		\$	\$	\$	\$	\$
Other funds (grants, etc.):		\$	\$	\$	\$	\$
Total Sources	\$	\$	\$	\$	\$	\$
<b><u>Uses of Funds:</u></b>						
Mentoring	\$	\$	\$	\$	\$	\$
Academic enrichment	\$	\$	\$	\$	\$	\$
Guidance in college admissions	\$	\$	\$	\$	\$	\$
Informing of college benefits/ requirements	\$	\$	\$	\$	\$	\$
Other (list):	\$	\$	\$	\$	\$	\$
Total Uses	\$	\$	\$	\$	\$	\$
# of students that are/will be participating in the program						

**F. Financial Capacity**

As part of its due diligence review, the Authority staff will review your most recent audited financial statements to determine your organization will continue its current operations into the foreseeable future. The review will ensure there is no 'going concern' language as part of the audit.

**G. Application Submission**

Applications must be submitted in duplicate to the Authority. The Authority will accept applications on an on-going basis until the program funding is exhausted. Each applicant may apply only once.

Please submit completed application by mail to:

California Educational Facilities Authority  
915 Capitol Mall, Suite 590  
Sacramento, CA 95814

## LEGAL STATUS QUESTIONNAIRE

For purposes of the following questions, the term “applicant” shall include the applicant and the project sponsor, the parent of the applicant and the project sponsor, and any subsidiary of the applicant or project sponsor if the subsidiary is involved in (for example, as a guarantor) or will be benefited by the application or the project. In addition to each of these entities themselves, the term “applicant” shall also include the direct and indirect holders of more than ten percent (10%) of the ownership interests in the entity, as well as the officers, directors, principals and senior executives of the entity if the entity is a corporation, the general and limited partners of the entity if the entity is a partnership, and the members or managers of the entity if the entity is a limited liability company.

### Civil Matters

Yes    No

- |  |              |              |
|--|--------------|--------------|
| <p>1. Has the applicant filed a bankruptcy or receivership case or had a bankruptcy or receivership action commenced against it, defaulted on a loan, or been foreclosed against in the <b><i>past ten years</i></b>? If so, please explain.</p>   | <p>_____</p> | <p>_____</p> |
| <p>2. Is the applicant <b><i>currently</i></b> a party to, or been notified that it may become a party to, any civil litigation that may materially and adversely affect (a) the financial condition of the applicant’s business, or (b) the project that is the subject of the application? If so, please explain.</p>  | <p>_____</p> | <p>_____</p> |
| <p>3. Have there been any administrative or civil settlements, decisions, or judgments against the applicant within the <b><i>past ten years</i></b> that materially and adversely affected (a) the financial condition of the applicant’s business, or (b) the project that is the subject of the application? If so, please explain and state the amount.</p>  | <p>_____</p> | <p>_____</p> |
| <p>4. Is the applicant <b><i>currently</i></b> subject to, or been notified that it may become subject to, any civil or administrative proceeding, examination, or investigation by a state or federal licensing or accreditation agency, a state or federal taxing authority, or a state or federal regulatory or enforcement agency?</p>   | <p>_____</p> | <p>_____</p> |
| <p>5. In the <b><i>past ten years</i></b>, has the applicant been subject to any civil or administrative proceeding, examination, or investigation by a state or federal licensing or accreditation agency, a state or federal taxing authority, or a state or federal regulatory or enforcement agency that resulted in a settlement, decision, or judgment? If yes to either question, please explain.</p> | <p>_____</p> | <p>_____</p> |

**Criminal Matters**

Yes      No

- |  |       |       |
|--|-------|-------|
| 6. Is the applicant <b><i>currently</i></b> a party to, or the subject of, or been notified that it may become a party to or the subject of, any criminal litigation, proceeding, charge, complaint, examination or investigation, of any kind, involving, or that could result in, <b><i>felony charges</i></b> against the applicant? If so, please explain.   | _____ | _____ |
| 7. Is the applicant <b><i>currently</i></b> a party to, or the subject of, or been notified that it may become a party to or the subject of, any criminal litigation, proceeding, charge, complaint, examination or investigation, of any kind, involving, or that could result in, <b><i>misdemeanor charges</i></b> against the applicant for matters <b><i>relating to the conduct of the applicant's business</i></b> ? If so, please explain. | _____ | _____ |
| 8. Is the applicant <b><i>currently</i></b> a party to, or the subject of, or been notified that it may become a party to or the subject of, any criminal litigation, proceeding, charge, complaint, examination or investigation, of any kind, involving, or that could result in, criminal charges (whether felony or misdemeanor) against the applicant for any <b><i>financial or fraud related crime</i></b> ? If so, please explain.         | _____ | _____ |
| 9. Is the applicant <b><i>currently</i></b> a party to, or the subject of, or been notified that it may become a party to or the subject of, any criminal litigation, proceeding, charge, complaint, examination or investigation, of any kind, that could <b><i>materially affect the financial condition of the applicant's business</i></b> ? If so, please explain.  | _____ | _____ |
| 10. Within the <b><i>past ten years</i></b> , has the applicant been convicted of any <b><i>felony</i></b> ? If so, please explain.  | _____ | _____ |
| 11. Within the <b><i>past ten years</i></b> , has the applicant been convicted of any <b><i>misdemeanor related to the conduct of the applicant's business</i></b> ? If so, please explain.  | _____ | _____ |
| 12. Within the <b><i>past ten years</i></b> , has the applicant been convicted of any <b><i>misdemeanor for any financial or fraud related crime</i></b> ? If so, please explain.  | _____ | _____ |

**LEGAL DISCLOSURE INFORMATION**  
(Please explain any “yes” answers on Attachment A)

## AGREEMENT AND CERTIFICATION

The Executive Director of the agency, Board Chairperson, or other individual with the Authority to commit the agency to contract shall complete the following certification:

- 1. The applicant certifies that the information contained in the application and attachments is true and correct to the best of its knowledge and belief and understands that misrepresentation may result in the cancellation of a grant and other actions, which the Authority is authorized to take.*
- 2. Applicant may be required to return all or a portion of the grant if the applicant fails to use grant funds as approved or the program is discontinued.*
- 3. Grant funds will only be used for the purposes described in the application for the duration of the funding term .*
- 4. The program and financial records of the applicant are subject to the Authority's and/or the Bureau of State Audit's audit and inspection.*
- 5. Applicant has either disclosed all legal information or has no legal information to disclose.*
- 6. Applicant will notify the Authority in when funds have been expended and certify that the program remained in existence throughout the fiscal year that grant funds were used.*
- 7. Applicant will meet all necessary requirements prior to the release of the grant*

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By (Print Name)

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Signature

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Title

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Date